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1054 U.S. PTO

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IN THE UNITED STATES PATENT AND TRADEMARK

Box New Patent Applications  
Honorable Commissioner for Patents  
Washington, D.C. 20231

Attorney's Docket No.: 60617.300801

FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of : **WANG et al.**

For: **"MULTIDIMENSIONAL OPTICAL GRATINGS"**

ENCLOSURES

- ☒ 32 page application including specification, claims, abstract; 2 page correspondence chart;
  - ☒ 19 sheets (Figs. 1 – 20) of ☐ informal/☒ formal drawings;
  - ☒ A Declaration, Power of Attorney & Petition (☒ signed/☐ unsigned);
  - ☒ A postcard for return to us as proof of receipt of the referenced documents.
- and**
- ☐ An Assignment of the invention with an assignment cover sheet;
  - ☒ Applicant claims small entity status (Under 37 CFR 1.27);
  - ☐ IDS (form PTO-1449) and copies of references;
  - ☐ An Associate Power of Attorney;
  - ☐ A certified copy of the priority document (Under 35 USC 119);
  - ☐ A Power of Attorney by Assignee;
  - ☒ Other: Nonpublication Request Under 35 USC 122(b)(2)(B)(i) – 1 page

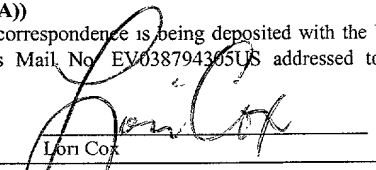
TYPE OF FILING

- ☒ This application claims the benefit of an earlier filed Patent Application Number 09/953,468, filed September 14, 2001 (35 USC 120).
- ☐ This application claims the benefit of the priority date of an earlier filed U.S. Provisional Patent Application Serial \_\_\_\_\_, filed \_\_\_\_\_ (35 USC 119).
- ☐ This is an application filed pursuant to 37 CFR 1.53, permitting receipt of a filing date upon filing of specification, claims and drawings, if required, with applicant being given a period of one month from the date of notice to file the fee and oath or declaration.
- ☒ In the event any parts of this application are missing, please treat this as a filing under 37 CFR 1.53 as defined just above.

**CERTIFICATE OF MAILING (37 CFR 1.10(A))**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" - Rule 10: I hereby certify that this correspondence is being deposited with the U. S. Postal Service "Express Mail Post Office to Addressee" under 37 CFR 1.10 as Express Mail, No. EV038794305US addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date: November 9, 2001

  
Lori Cox

## FEE CALCULATION

The filing fee has been calculated as shown below:

				SMALL ENTITY	OR	OTHER THAN A SMALL ENTITY	
BASIC FEE Design Patent				\$165	\$0	\$330	\$
BASIC FEE Utility Patent				\$370	\$0	\$740	\$370
EXTRA FEES				RATE	\$0	RATE	FEE
Total claims	29	minus 20 =	9	x9 =	\$0	x18 =	\$81
Independent Claims	2	minus 3 =	0	x42 =	\$0	x84 =	\$
<input type="checkbox"/> Multiple Dep. Claim				+140 =	\$0	+280 =	\$
<input type="checkbox"/> Assignment				+40 =	\$0	+40 =	\$0
<input type="checkbox"/> Rule 53 Surcharge				+65 =	\$0	+130 =	\$
<b>TOTAL</b>					\$0		<b>\$451</b>

### FEE PAYMENT

- ☒ Attached is Check No. 126860 in the sum of \$464.<sup>00</sup>.
- ☐ Please charge Account No. 02-3964 the sum of \$\_\_\_\_\_

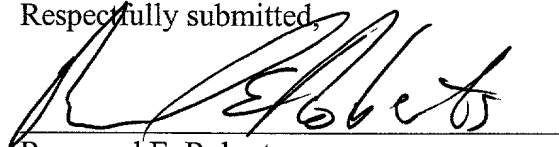
*Opps, please credit.*

### FEE DEFICIENCY

- ☐ Please charge Account No. 02-3964 in the sum of \$\_\_\_\_\_
- ☒ The Commissioner is authorized to charge (or credit any overpayment) to deposit account No. 02-3964:
- ☒ Any additional filing fees required under 37 CFR 1.16, except Rule 53 filings, which will be paid within the time permitted by PTOL 1533.
- ☐ Assignment Recordal fees.
- ☒ The filing fee and surcharge under 37 CFR 1.16, patent application processing fees under 37 CFR 1.17 and patent issue fees under 37 CFR 1.18 are intended to be paid by our firm as they arise. As no abandonment is intended by any inadvertent nonpayment of fees, the Commissioner is hereby authorized to charge payment of such fees as from time to time come due, if not paid prior to due date to our Deposit Account No. 02-3964.
- ☒ A duplicate copy of this sheet is enclosed.

Dated: November 9, 2001

Respectfully submitted,



Raymond E. Roberts  
Reg. No: 38,597

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

David W. Wang

Title

MULTIDIMENSIONAL OPTICAL GRATINGS

Atty Docket Number

60617.300801

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

9 Nov 2001  
Date

  
Signature

Raymond E. Roberts

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**